

**NATIONAL AERONAUTICS AND SPACE ADMINISTRATION
OFFICE OF THE GENERAL COUNSEL**

**STATISTICS OF THE
NASA PATENT PROGRAM
(FISCAL YEARS 1989 THROUGH 1998)**

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SUMMARY STATEMENT ON STATISTICS

Purpose

The NASA patent program is designed (1) to establish and protect the Government's rights in new technology generated in NASA programs, and (2) to further NASA's mission by using the incentives inherent in the patent system for fostering creation, identification, dissemination, and utilization of this new technology.

Policy

NASA's policy with respect to inventions made under contracts, grants, and cooperative agreements with other than small business firms and nonprofit organizations is based on section 305 of the National Aeronautics and Space Act of 1958, as amended (42 U.S.C. 2457). NASA's policy with respect to inventions made under contracts, grants, and cooperative agreements, with small business firms and nonprofit organizations is based on Public Law 96-517 (35 U.S.C. § 200 et seq.) Nonprofit organization includes colleges and universities (See definition of 35 U.S.C. § 201)

Section 305 of the Space Act is unique to NASA in that NASA acquires title to all inventions made under its contracts with other than small business firms and nonprofit organizations unless the Administrator determines that the public interest would be served by waiving title to the contractor. The Presidential Memorandum and Statement of Government Patent Policy to the Heads of the Executive Departments and Agencies dated February 18, 1983, is used as a guide in applying this waiver authority. The Patent Waiver Regulations are found at 14 CFR 1245.1.

The disposition of rights to inventions made under contracts, grants, and cooperative agreements with small business firms and nonprofit organizations is governed by Public Law 96-517 (35 U.S.C. § 200 et seq.) This law allows the contractor, who meets the definition of a small business firm or nonprofit organization the first option to retain title to inventions made under a contract, grant, or cooperative agreement provided the procedures prescribed in the law are followed. Applicable regulations are found at 37 CFR Part 401.

Rights to NASA employee inventions are allocated in accordance with Presidential Executive Order 10096. Applicable Regulations are found at 37 CFR Part 501.

NASA patents are available for licensing under 35 U.S.C. § 202-212 and 37 CFR Part 404.

The NASA statistics for the operation of the JPL by the CIT are included in the overall small entity numbers, but are shown separately. To not include the numbers for JPL/CIT as separate statistics could be misleading due to the large number of inventions reported from this one contractor.

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DEFINITION OF ACRONYMS AND OTHER ABBREVIATIONS

ARC	NASA field installation, Ames Research Center, Moffett Field, CA
CIT/JPL	California Institute of Technology/Jet Propulsion Laboratory, Pasadena, CA
DFRC	NASA field installation, Dryden Flight Research Center, Edwards, CA. Statistics are included with ARC prior to FY 1995. Patent Counsel support provided by ARC prior to FY 1995 and by JPL from FY 1995 on.
EPO	European Patent Office
FY	Fiscal Year - The period from October 1 through September 30 of the following year
GE	Government Employee
GSFC/GSC	NASA field installation, Goddard Space Flight Center, Greenbelt, MD
HDQS/HQN	NASA Headquarters, Washington, DC
JSC/MSC	NASA field installation, Lyndon B. Johnson Space Center, Houston, TX
KSC	NASA field installation, John F. Kennedy Space Center, Kennedy Space Center, FL
LaRC/LAR	NASA field installation, Langley Research Center, Hampton, VA
LE	Large Entity is a large business firm, corporation, etc., subject to Section 305 of the National Aeronautics and Space Act of 1958* (Space Act), as amended, (42 U.S.C. § 2457).
LeRC/LEW	NASA field installation, Lewis Research Center, Cleveland, OH
MSFC/MFS	NASA field installation, George C. Marshall Space Flight Center, Marshall Space Flight Center, AL
NMO-JPL	NASA field installation, NASA Management Office at the Jet Propulsion Laboratory, Pasadena, CA
SE	Small Entity is a small business firm or nonprofit organization subject to P.L. 96-517** (35 U.S.C. § 200 <i>et seq.</i>). Nonprofit organization includes colleges and universities (See definition of 35 U.S.C. § 201).
SSC	NASA field installation, John C. Stennis Space Center, Stennis Space Center, MS. Statistics included with MSFC prior to FY 1995. Patent Counsel support provided by MSFC prior to FY 1996 and by KSC from FY 1996 on
*	Section 305 Space Act-42 U.S.C. § 2457, Property Rights in Inventions (P.L. 85-568, July 29, 1958)
**	P.L. 96-517 - 35 U.S.C. § 200 <i>et seq.</i> , Patent Rights in Inventions Made with Federal Assistance, dated December 12, 1980.

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INVENTION DISCLOSURES REPORTED BY FISCAL YEAR

<u>FISCAL YEAR</u>	<u>EMPLOYEE</u> ¹	<u>LARGE ENTITY CONTRACTORS</u> ²	<u>SMALL ENTITY CONTRACTOR</u>		<u>TOTAL</u>
			<u>EXCEPT CIT/JPL</u> ³	<u>CIT/JPL</u> ⁴	
1989	256	530	154	276	1,216
1990	276	445	131	262	1,114
1991	294	382	207	276	1,159
1992	220	574	238	196	1,228
1993	234	366	287	150	1,037
1994	215	248	234	242	939
1995	226	252	336	301	1,115
1996	280	250	450	270	1,250
1997	283	230	522	269	1,304
1998	305	195	457	244	1,201

PAGE IDY

¹ Inventions subject to 37 CFR 501, E.O. 10096.

² Inventions reported and subject to Section 305(a), Space Act of 1958, as amended (42 U.S.C. § 2457).

³ Inventions reported under P.L. 96-517 (35 U.S.C. § 200 et seq.), except CIT/JPL.

⁴ Inventions reported by CIT/JPL under P.L. 96-517.

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION
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INVENTION DISCLOSURES REPORTED BY FISCAL YEAR AND FIELD INSTALLATION

<u>Installation</u>		<u>1989</u>	<u>1990</u>	<u>1991</u>	<u>1992</u>	<u>1993</u>	<u>1994</u>	<u>1995</u>	<u>1996</u>	<u>1997</u>	<u>1998</u>
ARC	GE	21	16	16	13	14	13	20	9	14	22
	LE	43	0	6	13	9	6	19	8	7	14
	SE	8	4	28	7	15	10	43	69	40	51
	TOT	72	20	50	33	38	29	82	86	61	87
DFRC	GE							6	51	75	72
	LE	*	*	*	*	*	*	0	3	0	2
	SE							1	6	14	17
	TOT							7	60	89	91
GSFC	GE	16	23	23	20	28	29	33	50	45	48
	LE	13	10	24	6	7	11	6	19	25	46
	SE	13	10	18	17	7	6	19	26	25	45
	TOT	42	43	65	43	42	46	58	95	95	139
HDQS	GE	0	2	1	1	2	0	0	4	1	0
	LE	1	0	0	1	0	0	0	0	0	0
	SE	10	0	13	12	22	14	1	4	3	9
	TOT	11	2	14	14	24	14	0	8	4	9
JSC	GE	45	51	40	39	38	33	18	26	13	11
	LE	96	106	83	219	88	80	78	62	23	18
	SE	35	23	21	29	38	36	23	35	46	58
	TOT	176	180	144	287	164	149	119	123	82	87
KSC	GE	24	28	4	12	20	8	10	10	1	8
	LE	50	20	8	22	28	10	28	47	45	11
	SE	9	0	8	13	51	27	43	23	29	53
	TOT	83	48	20	47	99	45	81	80	75	72
LaRC	GE	63	53	117	65	59	56	69	76	38	76
	LE	66	45	35	51	40	25	19	17	26	22
	SE	39	60	59	72	78	65	44	50	61	50
	TOT	168	158	211	188	177	146	132	143	125	148
LeRC	GE	33	38	38	31	38	22	47	23	53	37
	LE	35	67	78	86	75	22	36	35	38	35
	SE	15	5	10	50	43	31	84	58	96	104
	TOT	83	110	126	167	156	75	167	116	187	176
MSFC	GE	54	65	55	39	35	54	22	30	33	30
	LE	226	197	148	176	119	94	62	58	36	43
	SE	25	29	50	38	33	48	77	66	66	54
	TOT	305	291	253	253	187	193	161	154	135	127
SSC	GE							1	1	10	1
	LE	**	**	**	**	**	**	4	1	9	5
	SE							1	1	6	15
	TOT							6	3	25	21
NMO/JPL	GE	0	0	0	0	0	0	0	0	0	0
	LE	0	0	0	0	0	0	0	0	21	0
	SE	276	262	276	196	150	242	301	382	405	244
	TOT	276	262	276	196	150	242	301	382	426	244
TOTAL		1,216	1,114	1,159	1,228	1,037	939	1,115	1,250	1,304	1,201

* DFRC INCLUDED IN ARC REPORT

** SSC INCLUDED IN MSFC REPORT

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION
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U.S. NONPROVISIONAL PATENT APPLICATIONS FILED BY FISCAL YEAR

FISCAL YEAR	FILED BY NASA					FILED BY CONTRACTOR GOV'T HAS LICENSE			GRAND TOTAL
	GOV'T EMPLOYEE	CONTRACTOR EMPLOYEE			GOV'T EMPLOYEE GOV'T HAS LICENSE	TOTAL	SPACE ACT 305 WAIVER APPLICABLE LE FILED	P.L. 96-517 APPLICABLE SE FILED	
		SE NOT LE	CIT/JPL	SE CIT/JPL					
1989	80	24	13	45	0	162	16	23	201
1990	77	31	23	50	0	181	8	19	208
1991	130	19	21	35	0	205	10	45	260
1992	128	26	24	47	0	225	26	36	287
1993	136	35	25	49	0	245	5	36	286
1994	83	41	22	33	0	179	*	36	215
1995	84	23	40	16	0	163	14	76	253
1996	55	25	34	8	0	126	8	58	192
1997	77	23	28	2	0	130	11	26	167
1998	54	10	31	2	0	97	5	30	132

* Incomplete Data

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U.S. NONPROVISIONAL PATENT APPLICATIONS FILED BY NASA BY FISCAL YEAR AND FIELD INSTALLATION

<u>Installation</u>		<u>1989</u>	<u>1990</u>	<u>1991</u>	<u>1992</u>	<u>1993</u>	<u>1994</u>	<u>1995</u>	<u>1996</u>	<u>1997</u>	<u>1998</u>
ARC	GE							8	8	5	3
	LE	*	*	*	*	*	*	3	7	1	1
	SE							4	7	4	2
	TOT	10	4	8	16	17	10	15	22	10	6
DFRC	GE							0	0	2	4
	LE	*	*	*	*	*	*	0	0	0	0
	SE							0	0	0	0
	TOT	**	**	**	**	**	**	0	0	2	4
GSFC	GE							11	7	6	10
	LE	*	*	*	*	*	*	1	0	1	2
	SE							1	3	0	1
	TOT	12	9	24	27	19	8	13	10	7	13
HDQS	GE							0	0	0	1
	LE	*	*	*	*	*	*	0	0	0	0
	SE							0	0	0	0
	TOT	0	0	0	0	0	0	0	0	0	1
JSC	GE							7	5	7	5
	LE	*	*	*	*	*	*	10	10	8	5
	SE							3	1	2	8
	TOT	24	26	30	34	28	28	20	16	17	18
KSC	GE							1	0	0	0
	LE	*	*	*	*	*	*	1	0	5	1
	SE							3	5	2	2
	TOT	3	2	0	0	3	8	5	5	7	3
LaRC	GE							37	24	42	13
	LE	*	*	*	*	*	*	6	6	3	1
	SE							28	17	18	11
	TOT	34	49	65	65	62	61	71	47	63	25
LeRC	GE							11	12	14	7
	LE	*	*	*	*	*	*	0	0	3	0
	SE							0	1	2	5
	TOT	15	19	27	20	36	15	11	13	19	12
MSFC	GE							9	3	0	8
	LE	*	*	*	*	*	*	1	1	2	0
	SE							1	0	0	2
	TOT	19	22	16	16	31	16	11	4	2	10
SSC	GE							0	0	1	3
	LE	*	*	*	*	*	*	1	1	0	0
	SE							0	0	0	0
	TOT	***	***	***	***	***	***	1	1	1	3
NMO/JPL	GE	0	0	0	0	0	0	0	0	0	0
	LE	0	0	0	0	0	0	0	0	0	0
	SE	45	50	35	47	49	33	16	8	2	2
	TOT	45	50	35	47	49	33	16	8	2	2
TOTALS		162	181	205	225	245	179	163	126	130	97

* TOTAL APPLICATIONS FILED AVAILABLE ONLY

** DFRC INCLUDED IN ARC REPORT

*** SSC INCLUDED IN MSFC REPORT

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U.S. PROVISIONAL PATENT APPLICATIONS FILED BY FISCAL YEAR

FISCAL YEAR	FILED BY NASA					FILED BY CONTRACTOR GOV'T HAS LICENSE			GRAND TOTAL
	GOV'T EMPLOYEE	CONTRACTOR			GOV'T EMPLOYEE GOV'T HAS LICENSE	TOTAL	SPACE ACT 305 WAIVER APPLICABLE LE FILED	P.L. 96-517 APPLICABLE SE FILED	
		EMPLOYEE							
		LE	SE NOT	SE					
			CIT/JPL	CIT/JPL					
1995	3	0	0	0	0	3	0	2	5
1996	32	2	4	0	0	38	0	21	59
1997	12	0	4	0	0	16	3	5	24
1998	31	6	16	0	0	53	4	15	72

The following Centers filed
Provisional Applications:

1995 - Total = 3 (3 by LaRC);
1996 - Total = 38 (38 by LaRC);
1997 - Total = 16 (2 by GSFC, 9 by LaRC, 5 by MSFC);
1998 - Total = 53 (13 by ARC, 11 by GSFC, 3 by JSC, 2 by KSC, 21 by LaRC, 3 by MSFC).

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U.S. PATENTS ISSUED BY FISCAL YEAR

FISCAL YEAR	FILED BY NASA				FILED BY CONTRACTOR GOV'T HAS LICENSE		GRAND TOTAL	
	GOV'T EMPLOYEE	CONTRACTOR		GOV'T EMPLOYEE GOV'T HAS LICENSE	SPACE ACT 305 WAIVER APPLICABLE LE FILED	P.L. 96-517 APPLICABLE SE FILED		
		EMPLOYEE	EMPLOYEE					
								LE
1989	55	26	44	1	126	21	28	175
1990	86	17	44	0	147	2	5	154
1991	65	16	46	0	127	2	20	149
1992	90	20	49	0	159	5	30	194
1993	80	25	50	1	156	1	19	176
1994	93	19	36	0	148	5	41	194
1995	73	19	67	0	159	7	33	199
1996	51	14	37	0	102	6	37	145
1997	41	16	37	0	94	13	30	137
1998	48	29	28	0	105	9	34	148

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U.S. PATENTS ISSUED TO NASA BY FISCAL YEAR AND FIELD INSTALLATION

<u>Installation</u>		<u>1989</u>	<u>1990</u>	<u>1991</u>	<u>1992</u>	<u>1993</u>	<u>1994</u>	<u>1995</u>	<u>1996</u>	<u>1997</u>	<u>1998</u>
ARC	GE							9	8	5	5
	LE	*	*	*	*	*	*	3	2	1	7
	SE							3	3	4	5
	TOT							15	13	10	17
DFRC	GE							1	0	0	0
	LE	*	*	*	*	*	*	0	0	0	0
	SE							0	0	0	0
	TOT							1	0	0	0
GSFC	GE							15	9	3	5
	LE	*	*	*	*	*	*	0	0	0	1
	SE							0	0	0	2
	TOT							15	9	3	8
HDQS	GE							0	0	0	0
	LE	*	*	*	*	*	*	0	0	0	0
	SE							0	0	0	0
	TOT							0	0	0	0
JSC	GE							15	6	5	5
	LE	*	*	*	*	*	*	4	4	11	12
	SE							0	0	1	1
	TOT							19	10	17	18
KSC	GE							3	1	0	2
	LE	*	*	*	*	*	*	0	0	0	1
	SE							1	1	4	3
	TOT							4	2	4	6
LaRC	GE							15	16	16	18
	LE	*	*	*	*	*	*	5	4	3	5
	SE							14	11	11	11
	TOT							34	31	30	34
LeRC	GE							8	6	6	12
	LE	*	*	*	*	*	*	1	0	0	0
	SE							3	2	2	0
	TOT							12	8	8	12
MSFC	GE							7	5	6	1
	LE	*	*	*	*	*	*	6	3	1	1
	SE							1	0	0	0
	TOT							14	8	7	2
SSC	GE							0	0	0	0
	LE	*	*	*	*	*	*	0	1	0	2
	SE							0	0	0	0
	TOT							0	1	0	2
NMO/JPL	GE							0	0	0	0
	LE	*	*	*	*	*	*	0	0	0	0
	SE							45	20	16	6
	TOT							45	20	15	6
TOTALS		126	147	127	159	156	148	159	102	95	105

* INFORMATION UNAVAILABLE